

Federal Bureau of Prisons' Plan for the Prevention of Operational Disruptions Resulting from the Year 2000

Overview

This document sets forth the provisions of the Bureau of Prisons' efforts to assure no disruptions to operations will occur as a result of the inability of equipment or systems controlled by a calendar/clock to recognize dates later than December 31, 1999. The contents of this plan are purposefully general in nature allowing for latitude in the expeditious examination of the variety of equipment and systems potentially affected. This approach will also allow for use of information from other entities who are concurrently addressing similar issues.

Awareness Phase

Target Completion Date: March 15, 1998

The Bureau of Prisons (BOP) will use several avenues to increase awareness of the ramifications of potential problems with both information transfer (IT) and non-information transfer (non-IT) systems in use resulting from the Year 2000 (Y2K). A heightened awareness of the potential problems associated with Y2K affecting those systems used BOP-wide and those used locally will be sought.

The framework in which information learned will be disseminated to staff includes one Y2K IT Systems Program Manager and one Y2K non-IT Systems Program Manager. Both of these individuals will report to the Assistant Director for Administration, the Senior Management Official for the BOP. The Senior Management Official will chair a BOP working group composed of both Y2K Program Manager, and representatives from each of the BOP's Central Office divisions. The Division Representatives will be able to call upon the resources of staff in disciplines that fall within the organizational framework of their respective divisions located throughout the BOP.

The sources that will be relied upon for the increased level of awareness of Y2K issues are diverse. One such mechanism will be interagency committees and work groups. Use of this resource will not only provide education on the issues surrounding Y2K, but will also serve as a reservoir of information on methods used by other federal agencies in addressing concerns common to Y2K. The BOP will be able to transfer some of the techniques already put into practice by these agencies, increasing the ability to make BOP staff aware of concerns related to Y2K.

Another source of information that will be used during this phase will be other components within the Department of Justice (DOJ). Other DOJ components in some circumstances may have similar non-IT systems and may have already become aware of necessary remediation. Obtaining this information will allow the BOP to discern the applicability of the use of similar remedial efforts to BOP non-IT systems.

A third tool to be used in the awareness phase is material located on the Internet. The sources of this material will include other government agencies postings, information released by equipment manufacturers, and news articles pertaining to Y2K issues. A portion of this information will be primary and directly address Y2K issues, and provide guidance during the Awareness Phase. Additionally, other information, though not providing direct information, will provide leads to sources of information valuable in the increase of awareness of Y2K concerns.

Increasing awareness among BOP staff will be an ongoing process, but the time period for those directly

tasked with responsibility for their divisions will essentially be complete by the start of the assessment phase. Supplemental research will be conducted to assure staff have the latest information on the subject in order to complete the necessary tasks for the upcoming phases of the program.

Assessment Phase

Target Completion Date: July 15, 1998

The Assessment Phase will be composed of several distinct, but overlapping components. These components include: (1) initial information gathering; (2) distribution of data to division representatives; (3) additional research into systems where compliance with Y2K is unknown; and (4) identification and prioritization of systems based upon their status of being "mission critical."

The initial information gathering segment of the Assessment Phase will commence with correspondence from the Senior Management Official to each BOP Chief Executive Officer (CEO), specifically the Assistant Directors, Regional Directors, and Wardens. This correspondence will call for each CEO to seek information from institutions within their region concerning systems (both IT and non-IT) and the status of their compliance with Y2K. Specific information sought will include any system where there is a possibility of operating problems due to Y2K. The information sought will include: (1) type of equipment; (2) the manufacturer of the equipment; (3) use of the equipment; (4) the department within the institution charged with operation of the equipment; and (5) status of verification of the equipment's Y2K compliance. This information will allow for the establishment of an inventory of equipment possibly affected by Y2K issues.

Upon receipt of the data from the information gathering segment, it will be possible to distribute this data to division representatives for further investigation. Primary investigation will focus on those systems where compliance with Y2K is unknown. Distribution will be based on each division representative being charged with the responsibility of verifying compliance of identified equipment in departments operating the equipment under that division. For example, the Administration Division will be given information pertaining to equipment used by the Facilities Departments in institutions.

Each Division Representative, in consultation with appropriate staff, will determine which of the systems identified as not being verified as Y2K compliant are "mission critical." The "mission critical" systems will receive priority in the verification process in order to expedite any possible work in the renovation and verification phases of the program.

Following the dissemination of the systems data and prioritization based on identification of "mission critical" systems, each Division Representative, will be tasked with ascertaining which of the systems are Y2K compliant. Latitude in the exact manner of completion of this task will be given to each Division Representative in order to allow for the most expeditious gathering of additional information in order to verify compliance. Systems already identified as compliant will be reviewed in the verification phase, and non-compliant systems will be addressed during the renovation phase. Information will then be returned to the appropriate Y2K Program Manager (i.e., IT or non-IT), and updates provided in monthly reports by each Division Representative.

Each Division Representative, in addition to reporting monthly on this phase, will return data identifying each system as either compliant or non-compliant with Y2K. This will allow appropriate attention to be given to the system during the renovation or validation phases, and provide information necessary to update data contained in the inventory of systems.

Renovation Phase

Target Completion Date: August 15, 1998

This phase will commence during the receipt of data obtained during the Assessment Date. There will be no need to wait until all data is received, and this approach will allow for additional time to begin renovation of “mission critical” systems identified as Y2K non-compliant.

Renovation will be applicable to those systems determined to be Y2K non-compliant, and may take one of several forms. These forms include: (1) identification of possible transfer of systems to functions where Y2K compliance is not an issue and replacement of the transferred system with an existing Y2K compliant system or procurement of a new Y2K compliant system; (2) cost estimates and procurement of necessary system components to make the existing non-compliant system Y2K compliant; or (3) cost estimates and procurement of the replacement of systems where cost-benefit analysis indicates replacement of the entire system in lieu of upgrading the existing system or where upgrades are not available in a timely manner.

The first option in the renovation phase is the identification of possible transfer of Y2K non-compliant systems to functions where compliance is not necessary, and replacement of the Y2K non-compliant system with either an existing Y2K compliant system, or the procurement of a new Y2K compliant system. This is not thought to be a viable option in many circumstances, but where possible, it is the most cost-effective solution with minimal impact on operations. An example would be the transfer of a video camera currently used in a function where the ability to include the date on the recording is necessary to a function where use of the proper date is unnecessary.

The second option entails the procurement of available upgrades to make current Y2K non-compliant systems compliant. This process will involve research into available upgrades, commercial availability of these upgrades in a timely manner, and the cost effectiveness of the upgrade with consideration given to the remaining life of the system after the upgrade. An example would be where new software will be necessary to assure an automated building management system will be Y2K compliant.

The final option of the renovation phase is the planning for the procurement of replacement systems for systems not compliant with Y2K. This may be necessary as a result of a determination that the Y2K non-compliant system being near the end of its useful life, upgrades being unavailable or not available in a timely manner, or cost-benefit analyses indicating upgrade of the system to be less cost effective than replacement of the existing system with a new, Y2K compliant system. An example where this option would likely be followed would be the circumstance where the cost of the necessary upgrade to a fax machine would be roughly equivalent to the cost of procurement of a new, Y2K compliant fax machine.

Upon determination of the option to be pursued, identification of funds and the procurement process will commence.

Each Division Representative will report monthly on Renovation Phase activities, and these activities for the BOP will be summarized in the quarterly report to DOJ.

Validation Phase

Target Completion Date: November 1 ,1998

Validation of specific systems and corrections thereto can begin as soon as equipment has been identified as Y2K compliant during the Assessment Phase, or identified for upgrade/replacement during the Renovation Phase.

The validation phase will assure that systems identified as Y2K compliant are compliant, and those systems identified to be upgraded or replaced will operate in a Y2K compliant manner. Attention will also be given to assure interfaces between individual systems will remain operational after replacement or upgrade of the Y2K non-compliant components.

Vendors of upgrades and new systems will provide testing and validation during this phase of those systems they have provided. Existing systems identified during the Assessment Phase will be tested to assure Y2K compliance either by vendors, or BOP staff, depending on the complexity of the verification process.

Validation will involve use of existing information and procedures established by other federal agencies, such as the General Services Administration (GSA), wherever possible. The Internet will also be used as a resource to obtain information necessary during the validation process. Systems from a number of vendors have information concerning testing and validation of a variety of systems posted in an Internet clearinghouse maintained for GSA by a consultant (LMI). BOP specific validation processes will be developed as needed, and also used to supplement existing processes where necessary.

Each Division Representative will report monthly on Validation Phase activities, and these activities for the BOP will be summarized in the quarterly report to DOJ.

Implementation Phase

Target Completion Date: December 31, 1998

The Implementation Phase can commence upon the completion of validation of any proposed correction to a Y2K non-compliant system. This phase will involve the implementation of all corrections that have been validated for all Y2K non-compliant systems.

Each Division Representative will report monthly on Implementation Phase activities, and these activities for the BOP will be summarized in the quarterly report to DOJ.